

AUG 14 2000

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## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231

Typed or Printed Name **Martha Cisneros**

Signature

Date **August 8, 2000**
**TRANSMITTAL FORM**  
*(to be used for all correspondence after initial filing)*

Attorney Docket	GUID-003DIV2
First Named Inventor	Charles S. Taylor
Application Number	09/440,106
Filing Date	November 15, 1999
Group Art Unit	3736
Examiner Name	Unknown
Title: Surgical Devices for Imposing a Negative Pressure to Stabilize Cardiac Tissue During Surgery	

**ENCLOSURES (check all that apply)**

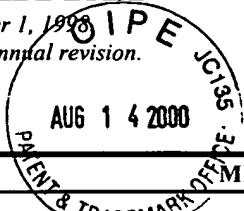
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Issue Fee Transmittal <i>(with copy of PTOL-85B)</i>	<input type="checkbox"/> Request for Refund
<input type="checkbox"/> Amendment/Response	<input type="checkbox"/> Formal Drawing(s)	<input type="checkbox"/> After Allowance
<input type="checkbox"/> <input type="checkbox"/> After Final	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Communication to Group
<input type="checkbox"/> <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition Routing Slip and Accompanying Petition	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Appeal Communication to Group
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Power of Attorney	<i>(Appeal Notice, Brief, Reply Brief)</i>
<input type="checkbox"/> Information Disclosure Statement, 1449 and references	<input type="checkbox"/> <input type="checkbox"/> Revocation	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> <input type="checkbox"/> Associate	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) <i>(please identify below):</i>
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 ( <i>with copy of Notice to File Missing Parts</i> )	<input type="checkbox"/> Terminal Disclaimer	<u>Request for Corrected Filing Receipt</u>
	<input type="checkbox"/> Small Entity Statement	<u>Copy of Receipt with Corrections</u>
		<u>Return Postcard</u>

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Individual Name	Alan W. Cannon	Registration No.	34977 SEP 14 2000
Firm Name	BOZICEVIC FIELD & FRANCIS LLP	RECEIVED	MAIL ROOM
Signature			
Date	August 8, 2000		

# FEE TRANSMITTAL

Note: Effective October 1, 1998  
Patent fees are subject to annual revision.



Attorney Docket Number	UID-003DIV2
First Named Inventor	Charles S. Taylor
Application Number	09/440,106
Filing Date	November 15, 1999
Group Art Unit	3736
Examiner Name	Unknown

## METHOD OF PAYMENT

1.  A Check Is Enclosed  
 2.  The Commissioner is hereby authorized to charge the following and any additional fees including fees required under 37 CFR 1.16 and 1.17 and credit any overpayments to: Deposit Account No. 50-0815.  
 Deposit Account Name: Bozicevic, Field & Francis LLP

## FEE CALCULATION

### 1. FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Due
101	690	201	345	Utility filing fee	\$
102	310	206	155	Design filing fee	
104	480	207	240	Plant filing fee	
109	690	208	345	Reissue filing fee	
110	150	214	75	Provisional filing fee	
Subtotal (1)					\$

### 2. CLAIMS

No. of claims as filed or after amendment	Most claims previously paid	Extra claims	Fee from below	Fee Due
Total claims	20	=	x	\$
Ind. claims	3	=	x	
Multiple Dependent claims			x	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim
109	78	209	39	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of and over original patent
Subtotal (2)				

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Due
105	130	205	65	Surcharge - late filing fee or oath	
			127	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
115	110	215	55	Ext. for reply within first month	
117	870	217	435	Ext. for reply within third month	
128	1,850	228	925	Ext. for reply within fifth month	
120	300	220	150	Filing brief in support of appeal	
140	110	240	55	Petition to revive - unavoidable	
142	1,210	242	605	Utility issue fee (or reissue)	
123	50	123	50	Petitions related to prov. appl.	
146	690	246	345	Filing submission after final rejection (37 CFR 1.129(a))	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
143	430	243	215	Design issue fee	
581	40	581	40	Recording patent assignment	
Other fee (specify)					25.

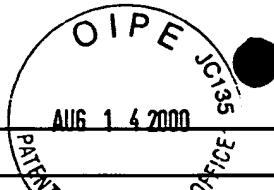
\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) 25.00

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NOV 16 2000

TOTAL AMOUNT TO BE CHARGED \$ 25.00

SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name		Alan W. Cannon, BOZICEVIC, FIELD & FRANCIS LLP			Reg. Number 34,977
Signature		Date	8/8/00	Deposit Account	50-0815



**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, D.C. 20231.

Typed or Printed Name	Martha Cisneros		
Signature	<i>Martha Cisneros</i>	Date	August 8, 2000
<b>REQUEST FOR CORRECTED FILING RECEIPT</b>		Attorney Docket	GUID-003DIV2
Address to: Assistant Commissioner for Patents Washington, D.C. 20231		First Named Inventor	Charles S. Taylor
		Application Number	09/440,106
		Filing Date	November 15, 1999
		Group Art Unit	3736
		Examiner Name	Unassigned
		Title	Surgical Devices for Imposing a Negative Pressure to Stabilize Cardiac Tissue During Surgery

Sir:

A filing receipt for the above-identified patent application has been issued by the U.S. Patent and Trademark Office (copy attached) and has been found to contain the following error(s):

- (1) The mailing address reads "022249, LYON AND LYON LLP, Suite 4700, 633 West Fifth Street, Los Angeles CA 90071-2066," but should read --BOZICEVIC, FIELD & FRANCIS, LLP, 200 Middlefield Road, Suite 200, Menlo Park, CA 9402--
- (2) The Attorney Docket No. reads "246/227", but should read --GUID-003DIV2-- and
- (3) The Continuing Data as Claimed by Applicant reads " THIS APPLN IS A DIV OF 08/870,687 06/06/97", but should read --THIS APPLN IS A DIV OF 08/870,687 06/06/97 PAT 6,032,672--

Some of the above corrections are due to applicant's error and the fee therefor, under 37 C.F.R. 1.19(h), of \$25.00 is paid as follows:

- Enclosed is a check.  
 Charge Account No. 50-0815.

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 TC 3700 MAIL ROOM

Please return the enclosed postcard stamped with the Patent and Trademark Office date stamp to evidence receipt of this request.

Respectfully submitted,  
BOZICEVIC, FIELD & FRANCIS LLP

Date: August 8, 2000

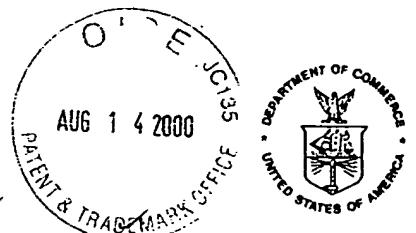
By:

  
Alan W. Cannon  
Alan W. Cannon  
Registration No. 34,977

BOZICEVIC, FIELD & FRANCIS LLP  
200 Middlefield Road, Suite 200  
Menlo Park, CA 94025  
Telephone: (650) 327-3400  
Facsimile: (650) 327-3231

F:\DOCUMENT\GUID\003DIV2\Request for Corrected Filing Receipt.wpd

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/440,106	11/15/99	3736	\$952.00	246/227	7	22	5

022249

LYON & LYON LLP  
SUITE 4700  
633 WEST FIFTH STREET  
LOS ANGELES CA 90071-2066

GUID-003DIV2

BOZICEVIC, FIELD & FRANCIS LLP  
200 MIDDLEFIELD ROAD, SUITE 200  
MENLO PARK, CA 94025

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) CHARLES S. TAYLOR, SAN FRANCISCO, CA.

CONTINUING DATA AS CLAIMED BY APPLICANT-

THIS APPLN IS A DIV OF 08/870,687 06/06/97  
WHICH IS A DIV OF 08/603,328 02/20/96

PAT 6,032,672  
PAT 5,727,569

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 01/07/00

TITLE

SURGICAL DEVICES FOR IMPOSING A NEGATIVE PRESSURE TO STABILIZE  
CARDIAC TISSUE DURING SURGERY

PRELIMINARY CLASS: 128

BEST AVAILABLE COPY

DATA ENTRY BY: LADRINGAN, JUDITH TEAM: 06 DATE: 01/07/00



(See reverse for new important information)